

**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: UT-Battelle, LLC

Application No./Patent No.: 10/770,734 Filed/Issue Date: 02/03/2004

Entitled: Robust Carbon Monolith having Hierarchical Porosity

UT-Battelle, LLC, a Corporation  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest  
(The extent (by percentage) of its ownership interest is \_\_\_\_\_ %)

in the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 014985, Frame 0711, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

\_\_\_\_\_  
/Edna I. Gergel/  
Signature  
\_\_\_\_\_  
Edna I. Gergel  
Printed or Typed Name  
\_\_\_\_\_  
Patent Agent  
Title

\_\_\_\_\_  
06/16/2008  
Date  
\_\_\_\_\_  
865-574-0393  
Telephone Number

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND  
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

RECEIVED  
AUG 19 2004

By *KS*

1297

AUGUST 13, 2004

PTAS



\*102667849A\*

JOSEPH A. MARASCO  
UT-BATELLE, LLC  
P.O. BOX 2008  
111 B UNION VALLEY ROAD  
OAK RIDGE, TN 37831

ENTERED BY *KS*  
DATE *8/19/04*  
PATENT AGENT  
CM

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 02/03/2004

REEL/FRAME: 014985/0711  
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).  
DOCKET NUMBER: 1297

ASSIGNOR:  
GUIOCHON, GEORGES A.

DOC DATE: 02/03/2004

ASSIGNOR:  
LIANG, CHENGDU

DOC DATE: 02/03/2004

ASSIGNEE:  
UNIVERSITY OF TENNESSEE RESEARCH  
FOUNDATION  
1524 WHITE AVE., SUITE 403  
KNOXVILLE, TENNESSEE 37996-1527

SERIAL NUMBER: 10770734

FILING DATE: 02/03/2004

PATENT NUMBER:

ISSUE DATE:

TITLE: ROBUST CARBON MONOLITH HAVING HIERARCHICAL POROSITY

014985/0711 PAGE 2

SHARON BROOKS, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

02-12-2004



U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office

Docket # 1297

To the Honorable Commis.

102667849

attached original documents or copy thereof.

1. Name of conveying party(ies):

Georges A. Guiochon  
Chengdu Liang

2-3-04

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other \_\_\_\_\_

Execution Date: FEB 03 2004

2. Name and address of receiving party(ies)

Name: University of Tennessee  
Research Foundation

Internal Address: \_\_\_\_\_

Street Address: 1524 White Ave. Suite 403

City: Knoxville State: TN Zip: 37996-1527

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: FEB 03 2004

A. Patent Application No.(s) \_\_\_\_\_

B. Patent No.(s) \_\_\_\_\_

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Joseph A. Marasco

Internal Address: UT-Batelle, LLC

P. O. Box 2008

Mail Stop 6498

Street Address: 111B Union Valley Road

City: Oak Ridge State: TN Zip: 37831

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41).....\$ 40.00

☐ Enclosed

☒ Authorized to be charged to deposit account

8. Deposit account number:

13-1958

DO NOT USE THIS SPACE

9. Signature.

Joseph A. Marasco

Name of Person Signing

Signature

FEB 03 2004

Date

Total number of pages including cover sheet, attachments, and documents: 4

Mail documents to be recorded with required cover sheet information to:  
Commissioner of Patents & Trademarks, Box Assignments  
Washington, D.C. 20231

02/11/2004 ECOOPER 00000100 131958 10770734

01 FC:8021

40.00 DA

ASSIGNMENT

WHEREAS, we, Georges A. Guiochon, City of Farragut, and Chengdu Liang, City of Knoxville, both of State of Tennessee (hereinafter "Assignor"), have invented certain new and useful improvements in "Robust Carbon Monolith having Hierarchical Porosity" for which application for a U.S. Patent was executed on FEB 03 2004,

AND, WHEREAS, UNIVERSITY OF TENNESSEE RESEARCH FOUNDATION, a non-profit corporation duly organized and existing under the laws of the State of Tennessee, having its principal office and place of business at 1524 White Ave., Suite 403, Knoxville, TN 37996-1527 (hereinafter "Assignee"), is desirous of acquiring an interest therein,

NOW, THEREFORE, To Whom It May Concern, be it known that for good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Assignor has sold and by these presents does hereby sell, assign, transfer and convey unto the said Assignee, its successors and assigns, his/her entire right, title and interest in and to the said invention and applications, and in and to any and all other foreign patent applications filed on the invention, and in and to any and all continuations, continuations-in-part, or divisions thereof, and in and to any and all Letters Patent of the United States of America and all foreign countries or reissues thereof which may be granted therefore or thereon, for the full end of the term for which said Letters Patent may be granted, together with his/her right to claim the priority of said application in all foreign countries in accordance with the International Convention, the same to be held and enjoyed by said Assignee, its successors and assigns, as fully and entirely as the same would have been held and enjoyed by Assignor if this assignment and sale had not been made.

Assignor hereby requests that said Letters Patent be issued in accordance with this assignment.

Assignor further covenants and agrees that, at the time of the execution and delivery of these presents, Assignor possess full title to the invention and application above-mentioned, and that he/she has the unencumbered right and authority to make this assignment.

Assignor further covenants and agrees, and likewise binds his/her heirs, legal representatives and assigns, to promptly communicate to said Assignee or its representatives any facts known to them relating to said invention, to testify in any interference or legal proceedings involving said invention, to execute any additional papers which may be requested to confirm the right of the Assignee, its representatives, successors and assigns to secure patent or similar protection for the said invention in all countries and to vest in the Assignee complete title to the said invention and Letters Patent, without further compensation, but at the expense of said Assignee, its successors, assigns and other legal representatives.

\* \* \* \* \*

Atty. Docket No.: 1297

Full name of inventor: Georges A. Guiochon

Signature: *Guiochon*

Date: Feb 3, 2004

Residence: 12010 Olympic Drive, Farragut, TN, 37922

Post Office Address: 12010 Olympic Drive, Farragut, TN, 37922

State of ) TENNESSEE

County of ) ROANE

On this 3rd day of February, 2004, before me, a Notary Public in and for the County and State aforesaid, appeared Georges A. Guiochon to me personally known to be the same person whose name is subscribed to the foregoing instrument, and acknowledged that he executed said instrument as his free and voluntary act and for the uses and purposes therein expressed.

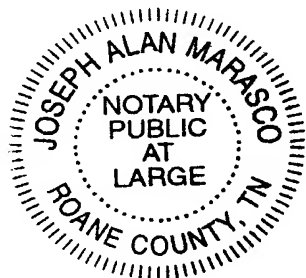
WITNESS my hand and seal the day and year last above given.

*Joseph Alan Marasco*  
Notary Public

SEAL

My Commission Expires:

**My Commission Expires June 12, 2008.**



Atty. Docket No.: 1297

Full name of inventor: Chengdu Liang

Signature: Chengdu Liang

Date: Feb. 3, 2004

Residence: 3700 Sutherland Ave. Apt. A-17, Knoxville, TN 37919

Post Office Address: 3700 Sutherland Ave. Apt. A-17, Knoxville, TN 37919

State of ) TENNESSEE

County of ) JEFFERSON

On this 3 day of FEBRUARY, 2004, before me, a Notary Public in and for the County and State aforesaid, appeared Chengdu Liang to me personally known to be the same person whose name is subscribed to the foregoing instrument, and acknowledged that he executed said instrument as his free and voluntary act and for the uses and purposes therein expressed.

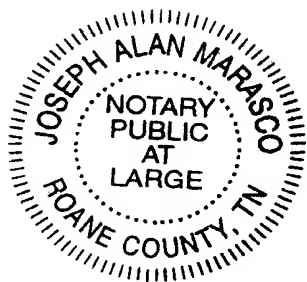
WITNESS my hand and seal the day and year last above given.

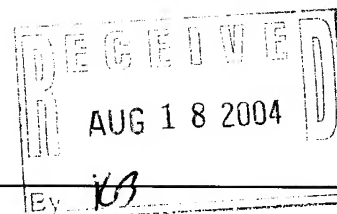
[Signature]  
Notary Public

SEAL

My Commission Expires:

**My Commission Expires June 12, 2006.**





**UNITED STATES PATENT AND TRADEMARK OFFICE**

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND  
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

AUGUST 09, 2004

PTAS

UT-BATELLE, LLC  
JOSEPH A. MARASCO  
111B UNION VALLEY ROAD  
OAK RIDGE, TN 37831



\*102667518A\*

ENTERED BY KB  
DATE 09/14/04  
PATENT AGENT \_\_\_\_\_  
CM \_\_\_\_\_

UNITED STATES PATENT AND TRADEMARK OFFICE  
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RECORDATION DATE: 02/03/2004

REEL/FRAME: 014963/0541  
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).  
DOCKET NUMBER: 1297

ASSIGNOR:  
DAI, SHENG

DOC DATE: 02/03/2004

ASSIGNEE:  
UT-BATTELLE, LLC  
P.O. BOX 1008, MAIL STOP 6498  
111B UNION VALLEY ROAD  
OAK RIDGE, TENNESSEE 37831

SERIAL NUMBER: 10770734

FILING DATE: 02/03/2004

PATENT NUMBER:

ISSUE DATE:

TITLE: ROBUST CARBON MONOLITH HAVING HIERARCHICAL POROSITY



014963/0541 PAGE 2

PAULA MCCRAY, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

02-12-2004



102667518

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Sheng Dai

23-04

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other \_\_\_\_\_

Execution Date: FEB 03 2004

2. Name and address of receiving party(ies)

Name: UT-Battelle, LLC

Internal Address: P. O. Box 1008

Mail Stop 6498

Street Address: 111B Union Valley Road

City: Oak Ridge State: TN Zip: 37831

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

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B. Patent No.(s) \_\_\_\_\_

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Internal Address: UT-Battelle, LLC

P. O. Box 2008

Mail Stop 6498

Street Address: 111B Union Valley Road

City: Oak Ridge State: TN Zip: 37831

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7. Total fee (37 CFR 3.41).....\$ 40.00

☐ Enclosed

☒ Authorized to be charged to deposit account

8. Deposit account number:

13-1958

DO NOT USE THIS SPACE

9. Signature.

Joseph A. Marasco

Name of Person Signing

Signature

FEB 03 2004

Date

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Washington, D.C. 20231

02/11/2004 EDDOPER 00000101 131958

10770734

01 FEB021

40.00 DA

22141 U.S. PTO  
10770734

020304

ASSIGNMENT

WHEREAS, I the below-named inventor whose residence and post office are as stated below, have invented certain new and useful improvements in a

**Robust Carbon Monolith having Hierarchical Porosity**

(hereinafter referred to as "Subject Invention") for which an application for United States Letters Patent was executed by me on even date herewith, and

WHEREAS, UT-BATTELLE, LLC, a limited liability company of the State of Tennessee, having an office at 111-B Union Valley Road, P. O. Box 2008, Oak Ridge, Tennessee 37831-6498, hereinafter referred to as "ASSIGNEE," is desirous of acquiring the entire right, title and interest of the undersigned in the Subject Invention and to any Letters Patent that may be granted therefor in the United States of America and in any and all foreign countries.

NOW, THEREFORE, in accordance with the terms of my employment agreement with ASSIGNEE and for good and valuable consideration, the receipt of which is hereby acknowledged, I hereby assign to ASSIGNEE our entire right, title and interest in the Subject Invention to all rights of priority thereto pursuant to the International Convention for the Protection of Industrial Property, and in any Letters Patent on the Subject Invention that may be granted in the United States of America and in any and all foreign countries, including any and all Letters Patent that are divisions, reissues, continuations, substitutions or extensions of any Letters Patent or applications therefor on the Subject Invention.

I hereby authorize and request the Commissioner of the United States Patent and Trademark Office and the officials of any and all foreign countries to issue any and all of said Letters Patent, when granted, to the ASSIGNEE.

Further, I hereby agree to communicate to said ASSIGNEE or its representatives any facts known to me respecting said Subject Invention, to testify in any legal proceedings, sign all lawful papers, execute all divisional, continuation, substitution, renewal and reissue applications, to execute all necessary assignment papers to cause any and all of said Letters Patent to be issued to said ASSIGNEE, and to make all rightful oaths and generally do everything possible to aid said ASSIGNEE and its representatives to obtain and enforce proper protection for said Subject Invention in the United States of America and in any and all foreign countries.

I further agree that the terms, covenants and conditions of this assignment shall inure to the benefit of ASSIGNEE, its successors, assigns, and legal representatives, and shall be binding on me, my heirs, legal representatives, and assigns.

Full name of inventor: Sheng Dai

Signature: Sheng Dai Date: Feb. 3, 2004

Residence: 12813 Paladin Lane, Knoxville, TN 37992

Post Office Address: 12813 Paladin Lane, Knoxville, TN 37992

State of Tennessee )  
County of Roane)

On this 3 day of FEBRUARY, 2004, before me, a Notary Public in and for the County and State aforesaid, appeared Sheng Dai to me personally known to be the same person whose name is subscribed to the foregoing instrument, and acknowledged that he executed said instrument as his free and voluntary act and for the uses and purposes therein expressed.

WITNESS my hand and seal the day and year last above given.

  
Notary Public

SEAL

My Commission Expires:

**My Commission Expires June 12, 2006.**

